

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

CASE NO. 17-CV-1789 (DLC)

LEK SECURITIES CORPORATION,
SAMUEL LEK,
VALI MANAGEMENT PARTNERS dba
AVALON FA LTD,
NATHAN FAYYER, and
SERGEY PUSTELNIK a/k/a
SERGE PUSTELNIK,

Defendants.

**PLAINTIFF'S NOTICE OF MOTION IN LIMINE TO PRECLUDE
AVALON DEFENDANTS FROM OFFERING EVIDENCE OR REFERENCES TO
(1) OPINIONS ABOUT INVESTIGATIONS, OR (2) ALLEGED HARDSHIPS**

PLEASE TAKE NOTICE THAT upon the supporting memorandum of law, declaration and exhibits served upon counsel for the parties on this date, Plaintiff U.S. Securities and Exchange Commission ("SEC") moves this Court for an Order precluding defendants or their counsel from offering, in front of the jury, any testimony, other evidence or any reference to defendants' opinions about the any investigations related to this case, or alleged hardships the defendants have suffered or might suffer, and for such other and further relief to which the SEC may be entitled.

PLEASE TAKE FURTHER NOTICE that pursuant to the Court's Scheduling Order (ECF No. 384), the Avalon Defendants shall serve opposing papers, if any, no later than

September 27, 2019, and the SEC shall have to and including October 2, 2019 to reply.

Dated: September 13, 2019

Respectfully submitted,

/s/ David J. Gottesman

David J. Gottesman

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U.S. Securities and Exchange Commission

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CERTIFICATE OF SERVICE

I hereby certify that on September 13, 2019, a true and correct copy of the above document was served on all counsel of record through the Court's CM/ECF system.

/s/ David J. Gottesman